U. S. Department of Energy
Oak Ridge Office
Office of Environmental Management
Procedure

# PREPARATION AND MANAGEMENT OF POLICIES AND PROCEDURES

EM-2.4
Revision 1

**Prepared:** Steven K. Oldham 6/16/05
Steven K. Oldham
Preparer
Date

**Approved:** S H McCracken 6/24/05
Stephen H. McCracken
Assistant Manager for Environmental Management
Date

# TABLE OF CONTENTS

ACRONYMS LIST .......... 3

1.0 PURPOSE .......... 4

2.0 SCOPE .......... 4

3.0 REFERENCES & DEFINITIONS .......... 4

  3.1 References .......... 4
  3.2 Definitions .......... 4

4.0 RESPONSIBILITIES .......... 4

  4.1 Assistant Manager for Environmental Management .......... 4
  4.2 Management and Staff .......... 5
  4.3 Document Preparer .......... 5
  4.4 Document Coordinator .......... 5

5.0 PROCEDURE .......... 6

  5.1 Document Preparation and Management .......... 6

6.0 RECORDS .......... 7

7.0 ATTACHMENTS .......... 7

  Attachment 1: Document Format .......... 8

  Attachment 2: Approval Page Format .......... 10

  Attachment 3: Approval Memo Format .......... 11

## ACRONYMS

| | |
|---|---|
| AMEM | Assistant Manager for Environmental Management |
| DOE | U. S. Department of Energy |
| EM | Office of Environmental Management |
| ORO | Oak Ridge Office |

## 1.0 PURPOSE

This procedure establishes the responsibilities, requirements, and instructions for the uniform preparation and management of policies and procedures for the U. S. Department of Energy, (DOE) Oak Ridge Office (ORO) Office of Environmental Management (EM).

## 2.0 SCOPE

This procedure applies to the preparation and management of EM policies and procedures.

## 3.0 REFERENCES AND DEFINITIONS

### 3.1 References

- DOE, 1996, DOE Policy DOE P 450.4, Safety Management System Policy, Washington, D.C.
- DOE, 2004, DOE Order DOE O 414.1B, Chg. 1, *Quality Assurance*, Washington, D.C.
- DOE, 2002, EM *Integrated Safety Management Policy*, Oak Ridge, TN

### 3.2 Definitions

Policy: A document that provides guidance regarding a particular goal or goals.

Preparation: The actions/efforts required to create a new or revise an existing policy or procedure.

Procedure: A document that sets out a series of steps/actions used to accomplish a need.

Technical Procedure: This procedure is applicable to technical staff, including Facility Representatives and Assessors.

NOTE: Throughout this procedure, a "policy" or "procedure" or both may be referred to as a "document."

## 4.0 RESPONSIBILITIES

### 4.1 Assistant Manager for Environmental Management

The Assistant Manager for Environmental Management (AMEM) should approve EM documents after review and concurrence by appropriate Staff.

### 4.2 Management and Staff

They are responsible for:

4.2.1 Identifying the potential need for creation/revision of a document and informing their supervisor of this;
4.2.2 if assigned, serving as a document Preparer;
4.2.3 if assigned, assisting Preparers in their efforts to create/revise these documents; and
4.2.4 when requested, reviewing and commenting on these documents.

### 4.3 Document Preparer

The Preparer is given the responsibility for preparation and management of a document and should:

4.3.1 create/revise an assigned document ensuring that it fully complies with DOE, ORO, and EM Directives, i.e., Laws, Regulations, Policies, Orders, Procedures, etc.;
4.3.2 perform a detailed review of assigned documents at least every three years or when substantive changes make it necessary;
4.3.3 after review, the document should be revised or a memo stating that the review was conducted and that no revision is necessary should be provided to the Document Coordinator for the file, and
4.3.4 ensure that training is provided as necessary, to ensure that assigned documents are being implemented properly.

### 4.4 Document Coordinator

The Document Coordinator should:

4.4.1 ensure that this procedure is used by Preparers;
4.4.2 assist Preparers and Staff when questions on preparation and/or management of documents arise;
4.4.3 ensure that Staff are informed whenever a document is approved, revised or cancelled;
4.4.4 ensure that the EM Policies and Procedures Webpage see url, http://www.oakridge.doe.gov/em/EMprocedures/index_EMSOPs2.htm, is kept current by requesting that Preparers review the Webpage quarterly and provide comments;
4.4.5 maintain an up-to-date Policies and Procedures Status Table. This table should include document titles, numbers (including revision numbers), Preparers' names, and effective dates. It should also include information on the status of documents being created or revised. The current version should be maintained in the "Other Documents and References" section of the Webpage.

## 5.0 PROCEDURE

Staff should follow this procedure in order to ensure that EM's Documents always comply with DOE Integrated Safety Management System as well as Quality Assurance requirements.

### 5.1 Document Preparation and Management

5.1.1 Document preparation should be carried out as follows:

5.1.1.1 if Staff members feel there is a need for creation/revision of a document, this should be discussed with their Supervisor;

5.1.1.2 if there is agreement, this should be discussed with Senior management;

5.1.1.3 if there is agreement, EM's Chief Operating Officer should assign a Preparer;

5.1.1.4 upon assignment the Preparer should:

- prepare a draft document using the formatting specified in Attachments 1 and 2;
- submit it for appropriate review and comment via memo (which should include a specific response date);
- after comments are received, resolve these and generate a "for approval" version;

NOTE: The "for approval" version should include a color approval page; see Attachment 2, as well as any other pages requiring color or other changes for proper effect.

- with Administrative staff support, submit it for review and concurrence through Senior Management and approval by the AMEM (The approval memo format to be used is provided in Attachment 3.);

5.1.1.5 upon approval, Administrative staff should return it to the Preparer;

5.1.1.6 upon receipt, the Preparer should:

- work with the Coordinator to make a final determination of the effective date (usually 30 days after approval);
- ensure that the "TBD" in the header is replaced with the actual effective date (At this point the document becomes the "record" version; and
- provide it to the Coordinator for final disposition (including transmittal, placement into the file and DOCS, and posting onto the Webpage).

5.1.2 Documents should be managed as follows:

5.1.2.1 Document Access/Use: The Webpage should be maintained such that current documents are available "on-line."

5.1.2.2 Periodic Document Review: A review as to the need for a revision should be performed by the Preparer at least every three years. If a revision is not needed at that time then an email should be sent to the Coordinator indicating this. This information should be added to the "Comments" area of the Status Table.

5.1.2.3 Document Cancellation: If a document is canceled, the Preparer should notify the Document Coordinator. The Document Coordinator should then inform Staff via memo, and remove it from the files, Webpage, and Status Table.

## 6.0 RECORDS

These documents are QA documents/records. Current documents as well as supporting material should be maintained in accordance with the EM records management system.

## 7.0 ATTACHMENTS

| | |
|---|---|
| **Attachment 1** | **Document Format** |
| **Attachment 2** | **Approval Page Format** |
| **Attachment 3** | **Approval Memo Format** |

# ATTACHMENT 1

## DOCUMENT FORMAT

Page and Section requirements (in sequence):

- APPROVAL PAGE
  (Format as shown in Attachment 2)

NOTE: All pages and sections should usually be included. This may not be necessary for simple policy statements.

- TABLE OF CONTENTS PAGE
  A full page should usually be dedicated to this.
- ACRONYM LIST PAGE
  A full page should usually be dedicated to this.
- TEXT PAGES (should include the following sections)

### 1.0 PURPOSE

Describe the objective of the document (example: "This procedure describes the method for ......................................................................................")

### 2.0 SCOPE

Identify the specific application of the document and the EM activities to which it applies. Include any restrictions on the document (example: "This procedure applies to Management and Staff – except for ________." Then give the circumstances).

### 3.0 REFERENCES AND DEFINITIONS

#### 3.1 References

3.1.1 List those documents used in the preparation of the document. The following information should be included:
- Author (organization or person)
- Date published
- Complete document title (If the complete reference document applies to the document, its title should be italicized. Where only parts of a document apply, it should be placed in quotation marks.
- Publisher
- Location published (city, state)

# ATTACHMENT 1 (CONTINUED)

### 3.2 Definitions

Define here only terms that are seldom used or are unique to the document and would not be readily understood.

## 4.0 RESPONSIBILITIES

Identify the individual(s) or organization(s) that have the major responsibilities for implementation of the document. Restrict this to personnel who have direct involvement in the subject activity (descriptive titles rather than specific names should be used, e.g., Team Leader, Director, etc.).

## 5.0 PROCEDURE

Provide the particular process/methodology needed to implement the requirements being described, including reference in the text to any attachments.

## 6.0 RECORDS

List or describe documents that may be generated due to the document's requirements. Include a statement similar to that found in Section 6.0 of this Procedure.

## 7.0 ATTACHMENTS

List exhibits, illustrations, forms, etc., referred to in the document's text and attached to it.

NOTE: First tier section numbers and titles should be bolded and capitalized, e.g., "**1.0 PURPOSE**." Second tier section numbers and titles should be bolded, but not capitalized, e.g., "**3.1 References**." No bolding is required for third tier section numbers and titles or below. The format in this procedure can also be referred to as a guide. Headers are necessary throughout the document ***except*** for the approval page.

# ATTACHMENT 2

## APPROVAL PAGE FORMAT

NOTE: A header should ***not*** be used on document approval pages, but should be used on subsequent pages as can be seen by reviewing this procedure. The approval page format in the current EM software which allows word processing may be obtained from the n:drive, see

**N:\AMEM\FORMAT-PROCEDURAL DOCUMENTS\APPROVAL PAGE FORMAT**

---

**U.S. Department of Energy**
**Oak Ridge Office**
**Office of Environmental Management**
**Policy or Procedure (SPECIFY)***

**TITLE OF DOCUMENT****

**EM-X.X**
**Revision X*****

**Prepared:** ______________________________ ______________
**Name** **Date**
**Preparer**

**Approved:** ______________________________ ______________
**Name** **Date**
**Assistant Manager for Environmental Management**

* This line should reflect whether the document is a Policy or Procedure.

** Titles should be capitalized.

*** Document numbers will be assigned by the Coordinator after consultation with the Preparer.

# ATTACHMENT 3

## APPROVAL MEMO FORMAT

NOTE: The approval memo format in the current EM software which allows word processing may be obtained from the n:drive, see

**N:\AMEM\FORMAT-PROCEDURAL DOCUMENTS\APPROVAL MEMO FORMAT.**

---

**DATE:**

**REPLY TO ATTN OF:** EM-9*X:Name*

**SUBJECT:** **EM PROCEDURE (OR POLICY) EM-X.X, REVISION X, "DOCUMENT TITLE" - APPROVED**

**TO:** Environmental Management Staff, EM-90

The subject ***procedure (or policy)***, see attached, is issued for your use. Please read and familiarize yourself with it. It will be placed onto the Office of Environmental Management's Office Policies and Procedures Webpage, (see http://www.oakridge.doe.gov/em/EMprocedures/index_EMSOPs2.htm) as soon as possible and will be available there for future reference.

If you have any questions or concerns about this ***procedure (or policy)***, please contact ***Name*** at ***phone number***.

***Name***
Assistant Manager for
Environmental Management

Attachment

**NOTE:** ***Any text shown in bold and italics should be revised as necessary.***